

Health Information Technology

Strategic and Operational Plan

Governance

March 18, 2015

Final Set of Charters

Executive Steering Committee
Operational Committee
Business Architecture Sub-Committee
Information Architecture Sub-Committee
Technical Architecture Sub-Committee





Connecticut Health Information Technology

Executive Steering Committee Charter

March 2015

I. Overview

The State of Connecticut has embarked on a multi-agency effort, led by the Department of Social Services (DSS), to articulate the state's vision for Health Information Technology (HIT) and to establish a governance structure to manage the vision to implementation. This multi-agency collaborative effort is focused on the development of a modern, horizontally-integrated system to empower individuals and health resource providers by delivering access to the information necessary to achieve better health outcomes. This customer-centric effort will overcome the challenges and limitations posed by the current system and serve individuals and the participating agencies by streamlining processes and utilizing advanced technologies, thus facilitating collaboration and data sharing across programs and systems.

The key goals are to:

1. Develop and maintain a statewide HIT Vision for Connecticut
2. Coordinate multi-agency HIT initiatives to achieve a greater outcome than would be possible acting independently
3. Improve data availability to those that need it while respecting individual privacy and security concerns

There are several projects underway in Connecticut that provide an unprecedented opportunity to leverage Federal and State investments in these efforts to advance health information technology in the State. These projects are: a) the DSS Advanced Eligibility System (ImpaCT) project; b) implementation of the Affordable Care Act (ACA) including the Health Insurance Exchange (AccessHealthCT), All-Payer Claims Database (APCD) and a new Integrated Eligibility System (IES); c) the Statewide Innovation Model Implementation grant (SIM); d) Electronic Health Records initiatives at DOC, DMHAS, DVA, and DPH; e) DDS Modernization project to modernize the case management technology systems; and f) CMS's Medicaid EHR Incentive Program. Maximizing the opportunities of these projects – and navigating the complexities that they represent – involves significant decision-making and collaboration amongst Connecticut's health and human services agencies. Therefore, the effort requires a governance process that is robust, goal-oriented, equitable and sustainable.



The Connecticut Department of Social Services (DSS), the Department of Administrative Services (DAS), the Department of Children and Families (DCF), the Department of Consumer Protection (DCP), the Department of Developmental Services (DDS), the Department of Public Health (DPH), the Department of Mental Health and Addiction Services (DMHAS), the Department of Correction (DOC), the Department of Veterans Affairs (DVA), the Office of Policy and Management (OPM), and Access Health Connecticut (AHCT), signed an Intergovernmental Agreement (IGA) regarding the HIT. This Charter furthers the IGA by providing substantive details of the Executive Steering Committee (ESC) and the committees supporting the ESC.

II. Purpose of the Health Information Technology Project

The purpose of the HIT Project is to serve Connecticut residents by providing core healthcare and human services in an efficient, effective and fiscally responsible manner that will lead to greater well-being and self-sufficiency. This will:

- Ensure benefits for the program and individuals resulting from the standardization of program operations, system, and training.
- Enable participation from stakeholders to inform decisions and to lead to better organizational outcomes.
- Provide for a shared mission to align the interests and vision of organizations.
- Simplify duplicative administrative processes.

To accomplish these goals, and to be capable of making and executing decisions, the project requires a consistent, effective, and lasting governance process. The governance process will ensure that all voices are heard and will accomplish the following:

- Provide a structure for decision-making
- Clarify the roles and responsibilities of each party involved
- Build organizational structure to support planning, development, oversight, and fiscal management
- Set project priorities and vision
- Define strategies and outcomes
- Maximize the use of resources and streamline processes
- Resolve conflicts
- Monitor performance, and
- Confer legitimacy on decisions



As such, the project ESC agrees to take the following steps to implement a governance model that is responsible for the following:

1. Create a shared vision
2. Identify and assemble strong executive leadership
3. Formalize the governance structure
4. Establish clear decision-making process
5. Evaluate and adapt the governance system
6. Maintain transparent communications and processes.

III. Purpose

The Executive Steering Committee (ESC) is the internal leadership and governance committee established to implement and ensure that efforts undertaken by the HIT project are put into sustainable operation. The ESC will:

1. Establish guiding principles for participating agencies, programs and processes
2. Establish organizational structures which foster a culture of interoperability among the participating agencies and its programs
3. Ensure strategic and appropriate use of state and federal funds for enterprise interoperability initiatives
4. Adopt processes that ensure accurate identification of persons served across the participating agencies and programs

The ESC agrees to the following guiding principles:

1. **Business Results**—Support accurate and timely processing of information to streamline administration and data sharing. Promote the use of automation, web-based customer services for providers and individuals, and the enactment of performance and service level standards.
2. **Interoperability**—Ensure seamless coordination and integration among participating agencies by ensuring interoperability among different systems and requiring that future systems must be built using standardized messaging, protocols, and architecture.
3. **Modularity**—Adopt a modular, flexible approach to systems development. Use System Development Life Cycle (SDLC) methodologies, open interfaces, and exposed Application Program Interfaces (API) business rules engines, and sharing of business rules.
4. **Industry Standards**—Ensure alignment with, and incorporation of, industry standards including Medicaid Information Technology Architecture (MITA),



National Human Services Interoperability Architecture (NHSIA) and National Information Exchange Model (NIEM). Ensure practices and procedures that establish and maintain privacy, confidentiality and security of protected information.

5. Architecture—Adopt an enterprise architecture model for business, information, systems and technology.
6. Leverage and Reuse—Promote sharing, leverage, and reuse of the project programs technologies and systems. Solution examples include project collaboration with other programs, implementation of Commercial Off-the-Shelf (COTS) software, and identification of components for reuse.
7. Performance Measurement—Produce transaction data, reports and performance information through open interfaces to participating agencies which allow secured production, transformation and loading to support program evaluation for analytics as well as fraud detection and prevention.
8. Real Time Processing—Adopt technology solutions that allow real time interactions across the service system.

IV. Membership

The ESC will have two co-chairs: the State Chief Information Officer (CIO) and the Commissioner of the Department of Social Services. Members will include the Commissioners of the participating agencies (or their designees) and representatives of the Office of Policy and Management (OPM) and other major initiatives. Members include:

- Chief Information Officer, State of Connecticut
- Commissioner, Department of Social Services
- Commissioner, Department of Children and Families
- Commissioner, Department of Consumer Protection
- Commissioner, Department of Developmental Services
- Commissioner, Department of Public Health
- Commissioner, Department of Mental Health and Addiction Services
- Commissioner, Department of Correction
- Commissioner, Department of Veterans Affairs
- Chief Executive Officer, Access Health Connecticut
- Secretary, Office of Policy and Management
- Senior Advisor, Office of the Governor or Office of the Lt. Governor
- State Health IT Coordinator, Department of Social Services



V. Decision Making

Executive Steering Committee (ESC) meetings will be carried out in an environment to facilitate communication. ESC members will be provided with actionable items to decide upon regarding project authorization and priorities, and the allocation of resources. Decisions will be made by consensus, i.e. an agreement made by the group as a whole.

Additionally, ESC members will appoint members to the Operational Committee (OC).

ESC members will be required to consistently represent the issue and the ESC's decisions to other interested parties.

VI. Roles and Responsibilities

ESC roles and responsibilities include the following:

- Defining the scope, vision, and objectives of the project as well as making high-level, data-supported decisions related to policy and finance.
- Developing and implementing policies that support agencies' missions, visions, and goals.
- Achieving results that benefit the individuals and communities served by the agencies.
- Providing strategic guidance and direction for project objectives.
- Working together across agencies and divisions.
- Engendering a change of culture across agency lines.
- Acting in a timely manner to ensure success and progress of agency technology project initiatives.
- Agreeing to, and implementing a governance model for the project.

VII. Procedures

1. ESC meetings will be held monthly, unless otherwise noticed or agreed upon. As the project matures, the ESC will alter the meeting schedule to an ad hoc basis, coinciding with priorities of the Framework.



2. Only principal ESC members, or their designees, will be allowed to vote; ESC members may invite staff to accompany them to meetings.
3. A facilitator or additional staff support may be provided including meeting minute transcribers.
4. Agendas and supporting materials will be distributed in advance of ESC meetings, and agendas will specify topics, presenters, and timeframes.
5. A record of decisions made as well as action items will be kept and distributed with the next meeting agenda.
6. Meetings will be held at a pre-determined location, which will be made known in the briefing materials before each meeting.

VIII. Organization

The ESC will interact with several other internal groups and may charter specific groups to assist in areas of ESC responsibilities.

- Operational Committee (OC): The Operational Committee will coordinate the planning activity between HIT agency initiatives to improve broad use of functionality built by the Medicaid/Healthcare projects by including common user requirements from the smaller programs. It will provide week-to-week coordination and operational guidance for the HIT project; it will review and report on how the current business processes work, how the current system is constructed, what the required components of the new systems are, how proposed new elements of the new design will work and how implemented changes, if any, are working.
- Project Liaisons: Each participating agency shall assign one or more Liaisons to assist the HIT Enterprise Project Management Office (EPMO) and vendors, chosen in collaboration with the PMO Director. The time commitment, duties, and responsibilities of each Liaison shall be agreed upon by the PMO Director and appropriate agency leadership.
- Subject Matter Experts (SMEs): SMEs are individuals who are knowledgeable about the operations and processes of the particular program. SMEs will be asked to review documentation which has been gathered about their program. A Program Liaison may also be a SME depending on the individual program.



- Enterprise Project Management Office (EPMO): The HIT EPMO is responsible for the coordination of the HIT Project and the over sight of all committees and initiatives. The PMO shall include a full-time staff that may, in whole or in part, be chosen from the Partner agencies or via other means and assigned duties by the PMO Director according to the needs and requirements of the HIT Project.
- Sub-Committees/Workgroups: Committees comprised of employees from the participating agencies, created to further the mission and objectives of the HIT Project.

IX. Signatures

In signing the Interagency Agreement the members of the HIT Project Executive Steering Committee attest to their agency's concurrence with and adherence to the provisions of this Charter, as well as to their individual commitment to meet their responsibilities.



Operational Committee Charter

Purpose

- Establishes the roles, responsibilities, membership, and procedures of the Operational Committee (OC) of the Connecticut Framework.

Roles and Responsibilities

- Review and recommend strategic objectives for deployment of enterprise IT initiatives. These strategic objectives will cover areas of Business, Information and Technology Architecture at the enterprise level.
- Review and recommend standards for project planning and artifact documentation. Documentation standards should be the minimum necessary to ensure compliance with enterprise architecture standards (business, information and technical). Documentation standards should vary depending on the project proposal maturity.¹
- Final review of business application proposals for their alignment with adopted strategic objectives and approval of agency projects moving forward based on this alignment.
- Supports the Executive Steering Committee (ESC) by reviewing Subcommittee recommendations, recommending appropriate changes, reviewing the architecture compliance of IT Projects, and providing technical guidance as needed.
- Periodic review and audit of the overall governance process to ensure timely processing of Agency project proposals through the governance review process.

¹ *NOTE: To operationalize the work of the framework someone or some entity will need to clarify expectations around documentation of projects (“Criteria for HIT Governance Projects”) seeking review and approval, including references to existing standards, e.g., MITA. For example, EP MO will put the agency review packets together for OC review/recommendation and ESC approval. The EP MO will be charged with assisting agency committee members understand, support, and adhere to these documentation standards, knowing that projects may not go forward without the requisite planning, consideration of applicable standards, and documentation for approval. Some project proposals may not be as fully fleshed out as others and shouldn’t be subject to the same documentation standards as a more mature project proposal.*



- Ensures the vitality by overseeing the governance model, and initiating relevant Subcommittees for the support of interoperable government and other State business initiatives.

Membership

- The OC will consist of one Chair. A new Chair will be appointed annually, whose agency affiliation will be different from that of the previously appointed Chair's affiliated agency.
- The OC is composed of selected Framework agency members appointed by the ESC. The members should consist of both programmatic and technical representatives.

Procedures:

1. The OC members are responsible for attending and actively participating in meetings, and assigning a designee in their absences to maintain equal representation throughout the Framework agencies.
2. The OC will serve as an oversight group between the three main subcommittees (Business Architecture (BA), Information Architecture (IA), and Technical Architecture (TA)) and the ESC and will ensure recommendations and decisions regarding individual agency projects are in line with the statewide identified strategic objectives.
3. The OC will serve as a forum for discussing important issues related to projects and determining recommendations to present to the ESC based on the identified State strategic objectives. The OC will serve as the final decision maker on whether projects are approved for implementation. Enterprise issues may be escalated to the ESC for review.²

² *NOTE: Need detail on when issues are to be escalated to the ESC. The OC should be able to make most decisions without going to the ESC based on the strategic objectives and the conformance of projects to the required documentation.*



4. The OC will assist in reviewing and advising the ESC on strategic initiatives and concepts
5. The OC will review enterprise architectural changes, triggered by changes in the business, new technologies, application development or other IT strategy decisions when necessary.³
6. The OC will make decisions based on the input from the Subcommittees.
7. The OC will be responsible for responding to project artifact review needs and communications with the other governance model bodies as needed to reach consensus.
8. The OC is responsible for reviewing recommendations related to specific Subcommittee reviews on project artifacts during the Project Life Cycle. Subcommittees should have the authority to review and approve project artifacts based on the identified strategic objectives and project standards. Review by the OC will be done in instances where the subcommittees cannot come to a consensus decision. Final project proposals reviewed and approved by the subcommittees will be referred to the OC for final review and approval.
9. The OC is responsible for ensuring the overall governance structure and operations results in timely review and processing of agency technology development proposals. The OC will conduct periodic audits of the proposal review and approval process to ensure that proposals are handled in a timely manner.
10. The OC will appoint the chair and members to the Business Architecture, Information Architecture and Technical Architecture subcommittees.
11. The OC will share methods, tools, ideas, and potential resources to assist with projects.
12. Meetings will be scheduled monthly, or as needed. Overall summary reviews of the Enterprise Architecture⁴ should occur every four to six months at a minimum.

³ *NOTE: This will be done with an eye on the enterprise and not on an agency project basis. The OC will review any major changes in state business approaches or technology development that have an enterprise impact.*

⁴*Encompassing Business, Information and Technology*



13. OC members will discuss artifact Review Packets developed by project teams related to enterprise initiatives to ensure compliance with enterprise standards and strategic objectives.
14. The Review Packets will be distributed via email prior to the meeting. Members are asked to review the materials prior to the meeting.
15. SMEs and other necessary participants will be utilized or recommended as required.
16. Minutes from the previous meeting will be distributed along with the next meeting's agenda.
17. Issues, updates, and tracked items will be discussed at every meeting.



Business Architecture Subcommittee – Charter

Purpose

- Establishes the roles, responsibilities, membership, and procedures of the Business Architecture Subcommittee (BAS) of the Connecticut Framework.

Roles and Responsibilities

- Ensure that statewide or multi-department strategies are incorporated into Framework Agency plans based on identified enterprise business architecture standards and enterprise strategic objectives as they relate to business issues.
- Review and provide business recommendations to guide enterprise IT standards and policies to the Operational Committee and the Enterprise PMO.
- Ensure that business operations related to multi-agency technical initiatives are in alignment with the Framework To-Be Business Architecture Standards and Strategic Objectives
- Ensure that statewide, or multi-department strategies are incorporated into enterprise and individual organizational change management needs of each agency

Ensure that high level business and functional requirements address the business need and are in alignment with enterprise business standards; proper business process maps will be provided to ensure agencies document requirements adequately

Membership

- The Business Architecture Subcommittee (BAS) will consist of one Chair appointed by the Operational Committee who will be responsible for leading project artifact reviews and communications with the Operational Committee
- The BAS will consist of one representative from each of the Framework Agencies who acts as agency business owner



Procedures

1. The members are responsible for attending and actively participating in meetings, and assigning a designee in their absences to maintain equal representation throughout the process. It is important to have representation from each Framework Agency at every meeting.
2. The Chair will communicate decisions based on the input from the Subcommittee. If needed, the Chair will make further requests to the Operational Committee for guidance.
3. The BAS will appoint a member to each to the other Subcommittees.
4. Meetings will be scheduled monthly, or as needed.
5. Subcommittee members will discuss artifact Review Packets developed by project teams related to enterprise initiatives to ensure alignment with enterprise business standards.
6. The Review Packets will be distributed by Enterprise PMO staff via email prior to the meeting. Members are asked to review the materials prior to the meeting.
7. SMEs and other necessary participants will be utilized as required.
8. Minutes from the previous meeting will be distributed along with the next meeting's agenda.
9. Issues, updates, and tracked items will be discussed at every meeting.
10. The BAS will report to the Chair of OC on enterprise project related issues.



Information Architecture Subcommittee-Charter

Purpose

This charter establishes the roles, responsibilities, membership, and procedures of the Information Architecture Subcommittee (IAS) of the Connecticut Framework.

Promote and ensure standards-based interoperability, data sharing, data quality, and data integrity among Connecticut's Health and Human services agencies.

Roles and Responsibilities

- Ensure statewide data sharing and enable interoperability
- Define the data management strategy, conceptual data model, logical data model, and data standards
- Review and provide recommendations for opportunities to share data based on standards, guidelines, and policies - establish uniform policies and procedures for collecting, standardizing, managing, and evaluating data
- Ensure maximum reuse of data and identify redundancies to make information collection and sharing effective and efficient
- Ensure appropriate administrative, technical and physical safeguards to protect the data from disclosure to any unauthorized persons
- Identify new business processes
- Identify information that is no longer used
- Improve system-effectiveness, facilitate growth and innovation, lower over-all life-cycle costs



Membership

- The IAS will consist of one Chair appointed by the Operational Committee who will be responsible for leading project artifact reviews and communications with the Operational Committee
- The IAS will consist of one representative from the Framework Agencies depending on the needs of the project under review.

Procedures

1. The IAS members are responsible for attending and actively participating in meetings, and assigning a designee in their absences to maintain equal representation throughout the process. It is important to have representation from each Framework Agency at every meeting.
2. The IAS will serve as a forum for discussing important issues related to reuse of data and reducing duplicative data collection efforts.
3. The IAS will assist in reviewing and advising the OC on strategic initiatives and concepts
4. The IAS when necessary will review architectural changes, triggered by changes in the business, new technologies, application development or other IT strategy decisions.
5. The Chair of the IAS will communicate decisions based on the input from the workgroups and the Subcommittees.
6. The IAS will appoint a member to of the other Subcommittees.
7. Meetings will be scheduled monthly, or as needed.
8. IAS members will discuss and define cross-agency strategies related with data management, conceptual data model, logical data model, and data standards
9. SMEs and other necessary experts will be invited or recommended as needed.
10. Minutes from the previous meeting will be distributed along with the next meeting's agenda.
11. Issues, updates, and tracked items will be discussed at every meeting.



Technical Architecture Subcommittee – Charter

Purpose:

- This charter establishes the roles, responsibilities, membership, and procedures of the Technical Architecture Subcommittee (TAS) of the Connecticut Framework.

Roles:

- Ensure that technical operations related to multi-agency initiatives are in alignment with the Project Plan (PP) and the Enterprise Architecture Review (EAR)
- Ensure that statewide, or multi-department strategies are incorporated into Framework agency plans
- Review and provide technical recommendations for implementing IT standards, guidelines, and policies
- Review project artifact packets including: Enterprise Architecture Review (EAR), Project Baseline Review (PBR), Requirements Review (RR), Detailed Design Review (DDR), Operational Analysis Review (OAR)

Membership:

- The TAS will consist of one Chair appointed by the Operational Committee (OC) who will be responsible for leading project artifact reviews and communications with the OC.
- The TAS will consist of one representative from each of the Framework Agencies
- PMO supports will be required to assist the Chair of TAS.



Procedures:

1. The TAS members are responsible for attending and actively participating in meetings, and assigning a designee in their absences to maintain equal representation throughout the process. It is important to have representation from each Framework Agency at every meeting.
2. The Chair will communicate decisions based on the input from the Subcommittee. If needed, the Chair will make further requests to the OC for guidance.
3. Meetings will be scheduled monthly or, as needed.
4. The IAS will appoint a member to other Subcommittees.
5. Project artifacts must be standardized across agencies and PMO's.
6. Subcommittee members will discuss artifact Review Packets developed by project teams related to Framework enterprise initiatives.
7. The Review Packets will be distributed via email prior to the meeting. Members are asked to review the materials prior to the meeting.
8. SMEs and other necessary participants will be invited to meetings as required.
9. Minutes from the previous meeting will be distributed along with the next meeting's agenda.
10. Issues, updates, and tracked items will be discussed at every meeting.